AY 2002

COURSE 1
STRATEGIC LEADERSHIP

COURSE DIRECTOR
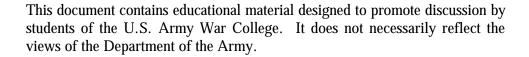COL THOMAS P. GANNON, DCLM

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This document contains educational material designed to promote discussion by students of the U.S. Army War College. It does not necessarily reflect the views of the Department of the Army.

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SECTION I

COURSE OVERVIEW

1. <u>General</u>. Course 1, **Strategic Leadership,** of the U.S. Army War College (USAWC) resident core curriculum is designed to help you think, operate, and act within the strategic environment through an examination of responsible leadership and management practices.

    a. Course 1 continues the development of leadership at three levels: Direct (taught at the basic and elective courses), Organizational (taught at the Command and General Staff College), and Strategic (taught at the Army War College). Building on your experiences, it provides the foundation for application of strategic-level skills and competencies throughout the academic year and into the future.

    b. As national security professionals, you must be able to translate the goals of national policy into credible military objectives (ends), concepts (ways), and resources (means) of the National Military Strategy. Course 1 begins the expansion of your understanding of national security and the strategic leadership environment by examining the leadership dynamics associated with the development of national military requirements and capabilities which enable warfighting CINCs to accomplish their part of the National Military Strategy.

    c. Course 1 is designed to present material in ways that will encourage personal and professional reflection, critical assessment, creative thinking, and consideration of issues that are most often characterized by volatility, uncertainty, complexity, and ambiguity, and marked by opportunities and threats. Our goal is to provide an environment for critically reflective learning as you examine issues and processes and explore alternate possibilities and opportunities. We expect that during this process you will participate vigorously in seminar discussions, classroom practical exercises, mini-case studies, question-and-answer periods with guest lecturers, and the development of your own individual learning plan for this academic year.

2. <u>Purpose</u>.

    a. Create a philosophy and environment for learning.

    b. Develop an appreciation of and understanding for leading and managing complex organizations at the strategic level.

    c. Lay the foundation for success in subsequent core courses and the entire academic year.

3. <u>Objectives</u>.

    a. Explain and apply fundamental learning and critical-thinking techniques.

b. Recognize that this year constitutes a major professional transition point.

c. Distinguish the nature of leadership and management in a strategic environment.

d. Demonstrate the importance of values-based ethical behavior, decisionmaking, and culture-setting.

e. Examine concepts that underpin succeeding academic course study and subsequent assignments. Challenge students to develop sound and comprehensive individual learning plans for the academic year.

4. <u>Scope</u>. Course 1 divides into five modules.

a. Module I: "Army War College, the Seminar, and You." (Lesson 1-1, Course Introduction and Seminar Learning.) This one-lesson module prepares students for the unique learning environment at the Army War College. First, the module explains and establishes the seminar as the center of the group learning experience. Second, the module addresses individual and group dynamic issues which are also addressed in future lessons.

b. Module II: "Strategic Leadership: The Framework." (Lesson 1-2, Introduction to Strategic Leadership; Lesson 1-5, Organizational Culture; Lesson 1-6, Ethics of Military Profession; Lesson 1-7, Just War Theory; Lesson 1-8, Leadership in/of a Profession; and Lesson 1-10, Future Environment.) This module provides a key conceptual cornerstone for your entire academic year. It introduces the concepts and requirements of strategic leadership and management and builds a basic frame of reference for the environment at the strategic level. This frame of reference is critical as you examine ends, ways, and means of decisionmaking and actions at the strategic level.

c. Module III: "Strategic Leadership: Conceptual Competencies." (Lessons 1-3 and 1-4, Critical Thinking; Lesson 1-11, Strategic Vision; Lesson 1-12, Systems Thinking; and Lesson 1-13, Leading Change.) Leadership studies frequently divide competencies into conceptual, interpersonal, and technical groupings. This module examines key conceptual competencies required at the strategic level.

d. Module IV: "Strategic Leadership: Interpersonal Competencies." (Lesson 1-9, Mentoring and the Military Profession; Lesson 1-14, Understanding Group Processes; Lesson 1-15, Capitalizing Diversity, and Lessons 1-16 and 1-17, Negotiations.) The nature of the strategic environment provides communication challenges. This module addresses critical interpersonal competencies within group dynamics. Studies in core Courses 2, 3, and 4 as well as elective courses and regional strategic appraisals will address technical competencies required by strategic leaders.

e. Module V: "Strategic Leadership: Applications." (Lessons 18 and 19, Strategic Leadership in a Transforming Organization.) This final module in Course 1 requires the student to consider the challenges and requirements of strategic leadership in a transforming organization.

5. Themes and Program for Joint Education (PJE). Your USAWC curriculum includes numerous themes of enduring value and/or special emphasis throughout the year. Course 1 touches on all the themes, but is the standard bearer for five: **Ethics, Human Dimensions of Strategic Leadership**, **Strategic Vision**, **Mentorship**, and **Transformation**. In addition, the curriculum is designed to address Program for Joint Education (PJE) learning areas and objectives. Course 1 will build a firm foundation for an in-depth study of these objectives throughout the academic year.

6. Curriculum Relationships.

    a. Course 1 is designed to assist in your transition from an operational assignment to a postgraduate academic experience, as well as the new and challenging environment which will characterize much of the remainder of your professional life. The course provides the foundation necessary to deal with the complexities of later course work. It assists in understanding the dimensions and the dynamics of individuals, small groups, and organizations as applied to the profession of arms and the strategic leader's role in a national and global strategic environment. Seminar sessions provide the basis from which you can begin to develop the competencies required for strategic leadership. Course 1 should have a major impact on your long-term professional development and the continuing educational process necessary to achieve that development.

    b. The model for Course 1 at Figure 1 depicts the sequential and progressive movement through areas of concentration marked by increasing complexity and responsibility. Each building block (horizontal) represents the continuing growth occurring within each of us. This growth is spurred by the increased knowledge and insight gained from expanded experience in new situations and the challenges posed by increasing levels of difficulty (vertical). Progression up the strategic stairsteps correlates generally with three broad organizational levels of leadership--direct, organizational, and strategic. This progression up the strategic stairsteps also moves us into an environment characterized by complex systems and interfaces within our national government--the legislative and executive branches. It is in this environment that we identify requirements to provide the military capabilities necessary to implement the strategy with minimum risk.

SECTION II

STUDENT REQUIREMENTS

1. General. Course 1 contains a variety of individual and group requirements. These requirements are described in the individual lesson directives in Section IV. At the end of Course 1, your Faculty Instructor (FI) will complete an evaluation of your course preparation, seminar participation, oral presentation, and written requirement. This evaluation, referred to as a Student Assessment Report (SAR) (CBks Form 811-R, Appendix I), will be included in your individual academic folder from which your final Academic Evaluation Report (AER) will be written.

2. Preparation. Thorough preparation for each seminar discussion is essential to the learning process. As a minimum, you will be expected to study the **required readings** specified in the lesson directive found in Section IV of this course directive. In addition, you can expect to be designated as a subgroup/discussion leader for various lessons. As a subgroup leader, you may have additional organizing, planning, or directing responsibilities, as well as the requirement to coordinate or conduct broader research into the suggested reading material and reserve references in the library. Your FI will evaluate the quality of your preparation based on your demonstrated knowledge of required preparatory material.

3. Participation. With your background and experience, you bring to your seminar invaluable insights about which other members may have no knowledge. The mutual exchange of individual experiences and perspectives is as vital to the learning process at the Army War College as basic preparation. Therefore, you are an essential part of both the active-learning process and the teaching team, and your preparation for each lesson and active participation in all seminar activities, exercises, and discussions are critical. As previously mentioned, your FI will evaluate your participation as part of the end-of-course evaluation based primarily on the quality (rather than quantity) of your contribution to each lesson.

4. Oral Presentation.

    a. General. Your ability to express yourself clearly, concisely, and courteously is essential to the learning process and will be evaluated throughout the course on an informal basis and formally recorded on your end-of-course SAR. Most of your oral presentations will be made as a member or representative of a subgroup or as a voluntary contributor to the routine seminar discussion.

    b. Specific. There is one individual oral presentation in Course 1 which will receive particular attention and will be formally evaluated as a separate requirement. This presentation may be associated with a focused reading in one of the lessons, or at the discretion of your FI, a presentation of your course paper during Lessons 18 and 19, Strategic Leadership in a Transforming Organization. The purpose of this presentation is to demonstrate a clear and concise understanding of the uniqueness of strategic leadership as applied to leadership in a transforming organization.

c. <u>Standards</u>. During your assigned oral presentation, you should summarize the key elements in a manner similar to how you would brief a group of senior (three- and four-star) general officers. Faculty Instructors will provide additional guidance and evaluate your oral presentation using the standard USAWC Student Assessment Report (CBks Form 811-R) at Appendix I.

5. <u>Written Requirement</u>.

a. <u>General</u>. Using the concepts, readings, and discussion from this course, the student will write on the requirements and challenges for strategic leadership during the Army Transformation, or as specified below, other transforming organizations. The paper will be forward-looking, considering challenges in the next 20-25 years, rather than historical in nature.

b. <u>Specific</u>. To further explicate, the intent is that the student carefully consider not so much *what* needs to be done, but rather *how* (the process) strategic leaders and those that support them need to address the transformation; for example, how to address uncertainties of the future environment, ethical challenges, and responsibilities for the professional standards/culture. The student must equally address conceptual competencies (e.g., critical thinking and systems thinking) to lead the profound change required by the transformation. Where applicable, specific examples should illustrate the student's prescriptions. Specifically:

(1) Army students, both military and civilian, will concentrate on strategic leadership required in the U.S. Army during the transformation period. At the student's option, the paper may address strategic leadership relating to Army-wide transformation issues, or, conversely, that required in his or her part of the organization (e.g., branch, organization, DOD Agency, etc.) to support the Army-wide transformation.

(2) Sister Service students and non-Department of the Army civilians will write on strategic leadership requirements for their Service's or organization's organization-wide transformation challenges for the next 20-25 years. At the student's option, the paper may instead focus on similar strategic leadership challenges in the joint arena.

(3) International Fellows will write on the future strategic-leadership challenges in their own military organizations.

(4) The paper will be 5-8 pages in length and follow the general guidelines for preparation of written work in the Communicative Arts Directive. Footnotes will be used where appropriate.

c. <u>Standards</u>. Your paper should be logically organized with an introductory paragraph containing a purpose statement, the body of the paper, and then a strong concluding paragraph. It should transition smoothly from one part to another. It should also show clear evidence of a thorough examination and analysis of your topic and should be free of spelling and grammatical errors. The writing requirement will be evaluated using the standard USAWC Student Assessment Report (CBks Form 811-R) at Appendix I. FI comments will summarize overall impressions of the structure, substance, and style, as well as strengths and needed improvements to the paper.

Course 1, AY 2002
August 2001

Monday	Tuesday	Wednesday	Thursday	Friday
30 July Convocation/ Commandant's Time	**31 July** **Lesson 1-1-S** Course Introduction/ Seminar Learning ------------------------------- Communicative Arts Exercise	**1** **Lesson 1-2-S** Introduction to Strategic Leadership ------------------------------- Communicative Arts Exercise	**2** **Lesson 1-3-S** Critical Thinking --------------------------------- **Lesson 1-4-S** Critical Thinking --------------------------------- Opening Ceremony Commandant's Reception	**3** CSA ------------------------
6 **Lesson 1-5-S** Organizational Culture -----------------------------	**7** **Lesson 1-6-S** Ethics of Military Profession ------------------------------- NTL: Dresden Trial ------------------------------- Commandant's Lecture Series	**8** **Lesson 1-7-L/S** Just War Theory ----------------------------- AFPRI Health & Fitness Day	**9** **Lesson 1-8-S** Leadership in/of a Profession ------------------------------- NTL: Igniting the Spirit of Inquiry ------------------------------- **Lesson 1-9-L/S** Mentoring and the Military Profession	**10** **Lesson 1-10-L/S** Future Environment --------------------------
13 **Lesson 1-11-L/S** Strategic Vision ----------------------------	**14** **Lesson 1-12-S** Systems Thinking ------------------------------- NTL: Grant as a Strategic Leader ------------------------------- Directed Study	**15** **Lesson 1-13-S** Leading Change ---------------------------	**16** **Lesson 1-14-S** Understanding Group Processes ------------------------------- **Lesson 1-15-L/S** Capitalizing on Diversity	**17** **Lesson 1-16-S** Negotiations --------------------------

20	21	22	23	24
Lesson 1-17-EX Negotiations Exercise ----------------------------	**Lesson 1-18-S** SL Applications I: Strategic Leadership in a Transforming Organization -------------------------------- NTL: Cholesterol Management **-------------------------------** **Lesson 1-19-S** SL Applications II: Strategic Leadership in a Transforming Organization	Course 2 Begins		

A.M. Class: 0830-1130   Directed Study: 1300-1600
P.M. Class: 1300-1600   Noontime Lecture (NTL): 1145-1245

SECTION IV

COURSE 1 LESSON INDEX

COURSE INTRODUCTION/SEMINAR LEARNING

Mode: Seminar   Lesson No. 1-1-S

1. Introduction. This lesson comprises Module I, "Army War College, the Seminar, and You" of Course 1, Strategic Leadership. This lesson provides a course overview, continues seminar formation already begun, and introduces some of the basic processes, tools, and techniques pivotal to a successful academic year. The lesson focuses on adult learning and various instructional methods used to increase the scope and depth of the student's learning and thinking processes. Individual student commitment and preparation combined with the seminar environment have proven to be the most effective instructional techniques for USAWC students. Students have the opportunity to learn from a wide diversity of other military and governmental experiences. The seminar approach also provides valuable experience in peer-group dynamics, oral presentation of ideas and viewpoints, listening to understand, creative and critical thinking, and consensus-building.

2. Learning Objectives.

a. To provide an overview of Course 1.

b. To familiarize students with the adult learning model, the seminar environment, and the role of the USAWC student in the process.

c. To contrast the USAWC environment with other military organizations.

3. Student Requirements.

a. Required Readings.

(1) Course 1 Directive. (Review)

(2) U.S. Army War College. Selected Readings, AY 2002. Course 1: Strategic Leadership, Volume I. [Student Initial Issue]

(a) Zemke, Ron, and Zemke, Susan. "Adult Learning: What Do We Know For Sure?" Training, June 1995, pp. 1-7.

(b) Barber, Herbert F. "Welcome to the Seminar." USAWC Article, pp. 8-16.

(3) Senge, Peter M. "The Discipline of Team Learning: Dialogue and Discussion." The Fifth Discipline. New York, NY: Doubleday/Currency, 1994, pp. 238-249. [Student Initial Issue]

b. Suggested Readings.

Internet Resources.

(1) Hale, John P. The Theory and Practice of Dialogue in Organizational Setting. Center for the Study of Work Teams, University of North Texas, 1995. http://www.workteams.unt.edu/reports/jphale.htm

(2) Gerard, Glenna, and Teurfs, Linda. Background and History of Dialogue. Vision Nest Publishing, February 7, 1999. http://www.vision-nest.com/cbw/Dialogue.htm1#1

(3) Bell, Bryan. Lessons in Lifemanship. Chapter 2: "Listening." <http://bbll.com/ch02.html>

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4. Points to Consider.

a. Who are the other members of the seminar? What experiences and perspectives do they bring to the table? How can I best learn from them?

b. What are my expectations of the USAWC? The seminar? What is the USAWC's expectation of me? The seminar's expectation of me?

c. What changes in behavior, priorities, and thinking will be required to maximize adult learning?

d. In addition to seminar discussion, what other opportunities for adult learning are available at the USAWC?

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5. Relationship to USAWC Themes and Program for Joint Education (PJE) Learning Areas and Special Areas of Emphasis. Learning objectives support an understanding of the importance of leveraging the **human dimensions of strategic leadership** and an appreciation of **jointness** in the USAWC environment. Readings touch upon the **human dimensions of strategic leadership** and **warfare in the 21st century**. Finally, points to consider should generate critical thought on the **human dimensions of strategic leadership** and **jointness.**

<u>Relationship to USAWC Institutional Learning Objectives (ILOs), Enduring and Special Themes</u>.

a. ILOs: 1.

b. Enduring Themes: Human Dimensions of Strategic Leadership, Jointness, and Strategic Vision.

c. Special Theme: Transformation.

**INTRODUCTION TO STRATEGIC LEADERSHIP: TRANSITION AND
ENVIRONMENT**

Mode: Seminar   Lesson No. 1-2-S

1. <u>Introduction</u>. This lesson begins Module II, "Strategic Leadership: The Framework." It provides the critical foundation for our study of strategic leadership during the academic year, defines strategic leadership, and explains the transition from direct to strategic-level leadership. This lesson also examines and illustrates both internal and external aspects of the strategic leader's environment. Subsequent lessons in the module will cover organizational cultures, ethical issues, and future environments.

2. <u>Learning Objectives</u>.

a. Understand the definition of strategic leadership.

b. Analyze the "Army Leadership Levels"--differences between the three levels of leadership and the transition to the strategic-leadership environment.

c. Gain an appreciation for the dynamic volatility, uncertainty, complexity, and ambiguity of the strategic-leader's environment.

d. Critically appraise the videotape entitled "War in Europe."

(1) Discriminate and explain strategic-leader competencies and tasks.

(2) Discriminate and explain external and internal countervailing forces of the strategic environment.

3. <u>Student Requirements</u>.

a. <u>Task</u>. Watch "War in Europe" prior to class (see schedule of times for multiple showings).

b. <u>Required Readings</u>.

(1) Magee, Roderick. U.S. Army War College. Department of Command, Leadership, and Management. <u>Strategic Leadership Primer</u>. Carlisle Barracks, PA: 1998. Chapters 1, 2, 5, 6, and 7.
http://carlisle-www.army.mil/usawc/dclm/Sprimer.pdf

(2) U.S. Army War College. <u>Selected Readings, AY 2002</u>. <u>Course 1: Strategic Leadership</u>, Volume I. [Student Initial Issue]

(a) Chilcoat, Richard A. <u>Strategic Art: The New Discipline for 21st Century Leaders</u>. Carlisle Barracks, PA: USAWC, Strategic Studies Institute, 1995, pp. 17-47.

(b) Hagan, Abdalla F.; Hassan, Morsheda T.; and Amin, Sammy G. "Critical Strategic Leadership Components: An Empirical Investigation." <u>Advanced Management Journal</u>, Summer 1998, Vol. 63, No. 3, pp. 48-53.

c. <u>Suggested Readings</u>.

(1) Woodward, Bob. <u>The Commanders</u>. First Edition. New York, NY: Simon and Schuster, 1991. [Library Reserve Shelf]

(2) Bacevich, A. J. "Preserving the Well-Bred Horse." <u>The National Interest</u>, Fall 1993/1994. Also available on Lexis-Nexis.

(3) Linkow, Peter. "What Gifted Strategic Thinkers Do" <u>Training and Development</u>, July 1999, Vol. 53, No. 7, p. 34. Also available on Lexis-Nexis.

(4) Cohen, Eliot A. "Defending America in the Twenty-first Century." <u>Foreign Affairs</u>, November-December 2000. Also available on Lexis-Nexis.

d. <u>Focused Reading</u>.

Handouts: Interviews with leaders in Kosovo crisis.

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4. <u>Points to Consider</u>.

a. Given the definition of strategic leadership, how well does the military prepare you to perform at this level?

b. What can we do to better prepare ourselves to be effective strategic leaders?

c. How is the leader's environment different at this level?

d. How will the strategic-leader environment change in the future?

5. <u>Relationship to USAWC Themes and Program for Joint Education (PJE) Learning Areas and Special Areas of Emphasis</u>. Learning objectives support an understanding of the uniqueness of **strategic-level leadership** including competencies, tasks, and environment. Specifically, learning objectives support an appreciation of **strategic vision**, **critical thinking**, **jointness**, **ethical issues**, and **civil-military relations** as well as an understanding of the **organizational and political influences on the development of strategic decisionmaking**. Readings touch upon all USAWC Themes and PJE Learning Areas but especially **jointness**, **strategic vision**, **civil-military relations**, **warfare in the 21st century**, **national military strategy and organization**, and **organizational and political influences**. Finally, points to consider should generate critical thought on **strategic vision** and **ethics and values in large organizations**.

    a. <u>Relationship to PJE Learning Areas</u>.

        (1) PJE LA 1.a. Readings; Points to Consider.

        (2) PJE LA 1.d. Objectives; Readings; Points to Consider.

        (3) PJE LA 3.c. Objectives; Readings; Points to Consider.

    b. <u>Relationship to USAWC Institutional Learning Objectives (ILOs), Enduring and Special Themes</u>.

        (1) ILOs: 1, 2, 3, 4, 5, 6, and 7.

        (2) Enduring Themes: Ethics, History, Human Dimensions of Strategic Leadership, Jointness, and Strategic Vision.

        (3) Special Themes: Warfare in the 21st Century and Transformation.

CRITICAL THINKING

Mode: Seminar   Lesson Nos. 1-3/4-S

1. Introduction. "Now more than ever, our officer corps needs to be able to think creatively, reason critically, and act decisively in ambiguous and uncertain conditions" (Report of the Panel on Joint Professional Military Education of the Chairman, JCS, March 1995). As you begin the transition into the academic environment here at the USAWC, there are various technologies, methodologies, processes, and skills that will enhance your learning and increase your effectiveness as a strategic thinker. As we collectively move into the information age and as you individually move up the organizational hierarchy, issues will increase in complexity and ambiguity and the consequences of decisions will be more far-reaching and serious. Consequently, the need to analyze issues in depth and in a more systematic manner also rises. This lesson focuses on the ability to reason critically about complex and difficult issues you may encounter in the future. To aid that effort, we will examine a critical-thinking model for use throughout the academic year.

2. Learning Objectives.

    a. Identify when and where critical thinking would be most valuable.

    b. Use various critical-thinking tools and techniques to gain a deeper understanding of issues.

    c. Identify factors that inhibit critical thinking.

    d. Identify when critical thinking is appropriate at the strategic level.

3. Student Requirements.

    a. Required Readings.

        U.S. Army War College. Selected Readings, AY 2002. Course 1: Strategic Leadership, Volume I. [Student Initial Issue]

        (1) Paul, Richard W. Critical Thinking: How to Prepare Students for a Rapidly Changing World. Edited by Jane Wilson and A. J. A. Binker. Foundation for Critical Thinking. Santa Rosa, CA: 1993. Chapter 1: "Accelerating Change, the Complexity of Problems, and the Quality of Our Thinking," pp. 54-69.

(2) Bolger, Daniel P. Savage Peace: Americans at War in the 1990s. Presidio, CA: Presidio Press, 1995. Chapter 5: "Getting It Wrong: Beirut, Lebanon, 1982 to 1984," pp. 106-111 and 115-116. Scan remainder of Chapter 5.

   b. Suggested Readings.

   Internet Resources on Critical Thinking.

   (1) Scriven, Michael, and Paul, Richard. "A Working Definition of Critical Thinking." <http://lonestar.texas.net/~mseifert/crit2.html>

   (2) Sullo, Teresa. "Developing Critical Thinkers." <http://w3.tvi.cc.nm.us/~tre/critical.htm>

   (3) Paul, Richard, and Elder, Linda. "The Elements of Critical Thinking: Definitions, Examples, Exercises." <http://199.8.2.165/tutor/tutor3.htm>

   (4) Paul, Richard, and Elder, Linda. "Critical Thinking." The Center for Critical Thinking. <http://www.uwec.edu/Academic/Geography/Ivogeler/critical.htm>

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4. Points to Consider.

   a. How effective of a critical thinker am I?

   b. What inhibits my critical thinking? How might I overcome these barriers?

   c. Which tools, methodologies, and processes are the most useful? Why?

   d. To what extent does the military encourage critical thinking? Why is it most crucial for senior leaders?

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5. Relationship to USAWC Themes and Program for Joint Education (PJE) Learning Areas and Special Areas of Emphasis. Learning objectives support an understanding of the importance of human relations for strategic leaders in stimulating reasoned, well-rounded critical thinking, and the application of critical thinking to issues related to **ethics**, **strategic vision**, and **warfare in the 21st century**. Readings relate to **history**, **strategic vision, human dimensions of strategic leadership**, and **civil-military relations.** The points to consider touch on **human dimensions of strategic leadership**, **ethics**, and **history**.

   a. Relationship to PJE Learning Areas.

   (1) PJE LA 1.a. Readings; Points to Consider.

   (2) PJE LA 1.d. Objectives; Readings; Points to Consider.

(3) PJE LA 3.c. Objectives; Readings; Points to Consider.

b. <u>Relationship to USAWC Institutional Learning Objectives (ILOs), Enduring and Special Themes</u>.

(1) ILOs: 1, 4, 5, and 7.

(2) Enduring Themes: Ethics, History, Human Dimensions of Strategic Leadership, Jointness, and Strategic Vision.

(3) Special Themes: Warfare in the 21st Century.

ORGANIZATIONAL CULTURE

Mode: Seminar   Lesson No. 1-5-S

1. <u>Introduction</u>. This lesson examines the challenges for strategic leaders in using organizational values, viewpoints, customs, and other aspects of organizational culture to prepare organizations for the future. A comprehensive understanding of how organizational culture evolves and the effects it has on a member's behavior is vital for senior leaders who must initiate and manage organizational change. Understanding, acknowledging, and, where necessary, modifying organizational culture is important both to planning change and to minimizing resistance to change.

This lesson will help students examine the established cultural values of American military services, and predict how those cultures will interact with each other and respond to the substantial changes the revolution in military affairs demands. The concepts and techniques explored in this lesson will be developed further throughout the rest of the academic year.

2. <u>Learning Objectives</u>.

a. Understand the concepts and definitions of organizational culture and their significance for strategic leaders.

b. Understand how strategic leaders modify organizational cultures.

c. Identify and compare American military service cultures.

3. <u>Student Requirements</u>.

a. <u>Tasks</u>. Read and prepare for classroom dialog on concepts of organizational culture in a military strategic environment. Prepare to apply these concepts in future analyses of defense organizations and to employ these concepts in Army transformation.

b. <u>Required Readings</u>.

(1) Ulmer, Walter F., Jr.; Collins, Joseph J.; and Jacobs, T. O. <u>American Military Culture</u> <u>in the</u> <u>Twenty-First Century</u>. A Report of the Center for Strategic and International Studies, February 2000. Chapters 2, 3, and 6. [Student Initial Issue]

(2) Kotter, John P. <u>Leading Change</u>. Boston, MA: Harvard Business School Press, 1996. Chapter 10: "Anchoring New Approaches in the Culture" pp. 145-158. [Student Initial Issue]

c. Suggested Readings. Additional readings on aspects of military culture.

(1) Efrat, Elron; Boas, Shamir; and Eyal, Ben-Ari. "Why Don't They Fight Each Other?: Cultural Diversity and Operational Unity in Multinational Forces." Armed Forces and Society, Fall 1999, pp. 73-97. [ProQuest: Use 1999 data base, enter elron and shamir] Also available on Library Reserve Shelf.

(2) Jandora, John W. "War and Culture: A Neglected Relation." Armed Forces and Society, Summer 1999, pp. 541-556. [ProQuest: Use 1999 data base, enter jandora and war]

(3) Boas, Shamir, and Eyal, Ben-Ari. "Challenges of Military Leadership in Changing Armies." Journal of Political and Military Sociology, Summer 2000, pp. 43-59. [ProQuest: Use 1999 data base, enter shamir and challenges]

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4. Points to Consider.

a. What positive and effective aspects of Service cultures have you seen in your career?

b. Have you observed senior leaders' attempts to change unit culture? What approaches and techniques were tried? Were they successful? What concepts or techniques seem to be associated with successful or unsuccessful organizational change?

c. Have you experienced inter-Service "culture clashes" in a joint environment? Have you experienced culture clashes with private voluntary organizations or nongovernment organizations (PVO-NGO)? Have you experienced cultural clashes with U.S. federal civil service employees (DOD, State, AID, Intelligence Agencies, Congressional Staffers)?

d. Are some aspects of military culture, as opposed to equipment and training, associated with the high level of respect afforded the military by American society?

e. What are the implications and consequences of intentionally changing Service cultures to fulfill strategic aims?

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5. Relationship to USAWC Themes and Program for Joint Education (PJE) Learning Areas and Special Areas of Emphasis. Learning objectives support an understanding of the importance of appreciating and leveraging the **human dimensions of strategic leadership** in formulating negotiating positions and consideration of **ethical** and **civil-military** issues. Readings touch upon **human relations, civil-military relations,** and **strategic vision** themes as well as **professional military values, ethics, national security strategy** considerations, and **organizational/political influences**. Finally, points to consider should generate critical thought on **jointness, strategic vision**, and **ethics** as well as other strategic-leader environment issues.

a. <u>Relationship to PJE Learning Areas</u>.

    (1) PJE LA 1.a.   Objectives; Readings.

    (2) PJE LA 3.b.   Readings; Points to Consider.

    (3) PJE LA 5.a.   Objectives; Readings; Points to Consider.

    (4) PJE LA 5.b.   Objectives; Readings.

b. <u>Relationship to USAWC Institutional Learning Objectives (ILOs), Enduring and Special Themes</u>.

    (1) ILOs: 1 and 4.

    (2) Enduring Themes: Ethics, Strategic Vision, and Human Dimensions of Strategic Leadership.

    (3) Special Themes: Civil-Military Relations and Transformation.

ETHICS OF THE MILITARY PROFESSION

Mode: Seminar   Lesson No. 1-6-S

1. Introduction. The military profession and the conduct of war place unique moral responsibilities on military officers. This lesson explores those responsibilities from a number of perspectives. The readings address the following topics:

   a. Students are exposed to the Kohlberg scale of moral reasoning and will discuss the concept of moral development and the levels of moral reasoning that are important for strategic military leadership.

   b. Students will explore and discuss the moral foundations of military service.

2. Learning Objectives.

   a. Become familiar with the concept of moral development and see the relevance of advanced moral thinking for strategic military leadership.

   b. Think critically about the moral basis of military service.

3. Student Requirements.

   a. Required Readings.

      U.S. Army War College. Selected Readings, AY 2002. Course 1: Strategic Leadership, Volume I. [Student Initial Issue]

      (1) Cook, Martin L. "Moral Reasoning as a Strategic Leader Competency," pp. 123-128.

      (2) Cook, Martin L. "Moral Foundations of Military Service." Parameters, Spring 2000, Vol. XXX, No. 1, pp. 129-141.

   b. Suggested Readings.

      Internet Resources.

      (1) U.S. Naval Academy. Department of Leadership, Ethics, and Law. Ethics Section Homepage. Overview of ethics and some good case studies. http://prodevweb.prodev.usna.edu/LEL/index.htm

      (2) Hinman, Larry. University of San Diego's Ethics Resource Page. Excellent case studies and background materials on many areas of ethics including military ethics. http://ethics.acusd.edu/

(3) Joint Services Conference on Military Ethics. This is an annual conference of civilian and military scholars working in the field of military ethics. Includes full text of many papers from recent conferences. http://www.usafa.af.mil/jscope/

(4) The Center for Professional Military Ethics at West Point is also developing a website which should be online soon.

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4. Points to Consider.

  a. How does the concept of stages of moral development apply to military officers? Are different levels of moral thinking required by the demands of differing levels of military leadership?

  b. In what ways is military service morally problematic? What are the moral justifications for it?

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5. Relationship to USAWC Themes and Program for Joint Education (PJE) Learning Areas and Special Areas of Emphasis. Learning objectives support an understanding of the uniqueness of **strategic-level leadership** including competencies, tasks, and environment. Specifically, learning objectives support an appreciation of **ethical issues**, **critical thinking**, and **civil-military relations**. Readings directly address **ethics**, **jointness**, and **civil-military relations** as well as an appreciation of **organizational and political influences.** Finally, points to consider will generate critical thought on a wide range of **ethical issues** at the strategic level as well as **warfare in the 21st century.**

  a. Relationship to PJE Learning Areas.

    (1) PJE LA 1.a. Readings; Points to Consider.

    (2) PJE LA 1.d. Objectives; Readings; Points to Consider.

  b. Relationship to USAWC Institutional Learning Objectives (ILOs), Enduring and Special Themes.

    (1) ILOs: 1, 2, 3, and 4.

    (2) Enduring Themes: Ethics, History, and Human Dimensions of Strategic Leadership.

    (3) Special Themes: Mentorship, Civil-Military Relations, and Warfare in the 21st Century.

JUST WAR THEORY

Mode: Lecture/Seminar   Lesson No. 1-7-L/S

1. <u>Introduction</u>. The military profession and the conduct of war place unique moral responsibilities on military officers. This lesson explores those responsibilities from a number of perspectives. The reading addresses the following topics:

   a. The major principles and history of the moral requirements for Just War are presented.

   b. The lecture/discussion of Lesson 7 applies Just War categories to assess the Kosovo intervention.

2. <u>Learning Objectives</u>.

   a. Understand the development and moral basis of the requirements of Just War thinking. Acquire some facility in use of the categories of Just War in assessing particular military engagements and acts of war.

   b. Critically assess the application of Just War and international legal categories to the NATO military intervention in Kosovo.

3. <u>Student Requirements</u>.

   a. <u>Required Readings</u>.

      U.S. Army War College. <u>Selected Readings, AY 2002</u>. <u>Course 1: Strategic Leadership</u>, Volume I. [Student Initial Issue]

      (1) Cook, Martin L. "Ethical Issues in War: An Overview." Edited by Joseph Cerami and James F. Holcomb, Jr. <u>U.S. Army War College Guide to Strategy</u>. Carlisle Barracks, PA: Strategic Studies Institute, February 2001, pp. 142-153.

      (2) Cohen, Eliot A. "Obligations of Leadership: The Khobar Towers Bombing and Its Aftermath." Published by National Security Studies, Syracuse University, NY, pp. 154-183.

   b. <u>Suggested Readings</u>.

      <u>Internet Resources</u>.

      (1) U.S. Naval Academy. Department of Leadership, Ethics, and Law. Ethics Section Homepage. Overview of ethics and some good case studies.
http://prodevweb.prodev.usna.edu/LEL/index.htm

(2) Hinman, Larry. University of San Diego's Ethics Resource Page. Excellent case studies and background materials on many areas of ethics including military ethics. http://ethics.acusd.edu/

(3) Joint Services Conference on Military Ethics. This is an annual conference of civilian and military scholars working in the field of military ethics. Includes full text of many papers from recent conferences. http://www.usafa.af.mil/jscope/

(4) The Center for Professional Military Ethics at West Point is also developing a website which should be online soon.

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4. Points to Consider.

a. How do the moral requirements of Just War inform decisions to use military force at the strategic level?

b. How do the moral requirements of just conduct in war affect operational planning and execution of military operations?

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5. Relationship to USAWC Themes and Program for Joint Education (PJE) Learning Areas and Special Areas of Emphasis. Learning objectives support an understanding of the uniqueness of **strategic-level leadership** including competencies, tasks, and environment. Specifically, learning objectives support an appreciation of **ethical issues**, **critical thinking**, and **civil-military relations**. Readings directly address **ethics**, **jointness**, and **civil-military relations** as well as an appreciation of **organizational and political influences.** Finally, points to consider will generate critical thought on a wide range of **ethical issues** at the strategic level as well as **warfare in the 21st century.**

a. Relationship to PJE Learning Areas.

(1) PJE LA 1.a. Readings; Points to Consider.

(2) PJE LA 1.d. Objectives; Readings; Points to Consider.

b. Relationship to USAWC Institutional Learning Objectives (ILOs), Enduring and Special Themes.

(1) ILOs: 1, 2, 3, and 4.

(2) Enduring Themes: Ethics, History, and Human Dimensions of Strategic Leadership.

(3) Special Themes: Mentorship, Civil-Military Relations, Multinational Operations, and Warfare in the 21st Century.

LEADERSHIP IN AND OF A PROFESSION

Mode: Seminar   Lesson No. 1-8-S

1. Introduction. Military officers are not only managers of organizations and leaders of individuals and units. They are also members of a profession and, as they rise in rank and status, leaders and preservers of their profession. The question of the nature of professions, as distinct from mere occupations, has generated much literature in sociology. In recent years, questions have been raised from a number of quarters regarding the health and future of the military profession. In this lesson, students will examine a number of those issues. Questions addressed are:

    a. What are professions?

    b. In what ways does military officership qualify as a profession?

    c. In what ways do the changes in the nature of American military activities since the end of the Cold War place stress and induce changes in the profession?

    d. In what ways should the profession respond to those changes to insure the professional character of the American military?

2. Learning Objectives.

    a. Become familiar with the concept of professions and see the relevance of questions of professionalism for strategic military leadership.

    b. See how leadership challenges to professions differ from challenges of leading and managing organizations.

    c. Think critically about the professional health and challenges to the profession in the contemporary American military.

3. Student Requirements.

    a. Required Readings.

        U.S. Army War College. Selected Readings, AY 2002. Course 1: Strategic Leadership, Volume I. [Student Initial Issue]

        (1) Burk, James. Expertise, Jurisdiction, and Legitimacy of the Military Profession. Paper prepared for the Army Professionalism Project for the Senior Conference held on 14-16 June 2001 at the United States Military Academy, pp. 184-224.

(2) Cook, Martin L. "Army Professionalism: Service to What Ends?" Pp. 225-254.

(3) Huntington, Samuel P. "Officership as a Profession." War, Morality, and the Military Profession. Edited by Malham M. Wakin. Boulder, CO: 1986, pp. 255-266.

(4) Snider, Don M., and Watkins, Gayle L. "The Future of Army Professionalism: A Need for Renewal and Redefinition." Parameters, Autumn 2000, pp. 267-282.

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4. Points to Consider.

   a. How does leadership in and of a profession differ from management of an organization?

    b. In what ways is the professional military officer's profession like and unlike other professions?

   c. What is the "body of abstract knowledge" which defines the core expertise of the military profession?

   d. When and how is that knowledge and its application adapted to changing historical circumstances, and what persons and institutions within the profession bear primary responsibility for that adaptation?

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5. Relationship to USAWC Themes and Program for Joint Education (PJE) Learning Areas and Special Areas of Emphasis. Learning objectives support an understanding of the uniqueness of **strategic-level leadership** including competencies, tasks, and environment. Specifically, learning objectives support an appreciation of **ethical issues**, **critical thinking**, and **civil-military relations**. Readings directly address **ethics**, **jointness**, and **civil-military relations** as well as an appreciation of **organizational and political influences.** Finally, points to consider will generate critical thought on a wide range of **ethical issues** at the strategic level as well as **warfare in the 21st century.**

   a. Relationship to PJE Learning Areas.

      (1) PJE LA 1.a. Readings; Points to Consider.

      (2) PJE LA 1.d. Objectives; Readings; Points to Consider.

   b. Relationship to USAWC Institutional Learning Objectives (ILOs), Enduring and Special Themes.

      (1) ILOs: 1, 2, 3, and 4.

      (2) Enduring Themes: Ethics, History, and Human Dimensions of Strategic Leadership.

      (3) Special Themes: Mentorship, Transformation, and Civil-Military Relations.

MENTORING AND THE MILITARY PROFESSION

Mode: Lecture/Seminar   Lesson No. 1-9-L/S

1. <u>Introduction</u>. A great deal has been written recently about the relationship between senior and junior officers in the Army, the higher than expected rate of exodus of captains, and the issue of mentoring junior officers. This lecture, question-and-answer session, assigned readings, and seminar discussion will provide students with an opportunity to get an overview of these issues, the results of various studies of the officer corps, and some reflection on how mentoring might or might not improve the professional relations among members of the officer corps. Questions to be addressed are the following:

a. What do we mean by mentoring, and what is its appropriate role in officer development?

b. How does mentoring work in other professions and career fields? Do those examples provide any useful models for improving the mentoring of officers?

c. What are the differences among the various activities we loosely call "mentoring?" Which of them are most helpful and appropriate to officer development?

2. <u>Learning Objectives</u>.

a. Become familiar with the state of the discussion of mentoring and its relationship to Army professionalism.

b. Increase awareness and motivation to mentor and to encourage mentoring in future positions.

3. <u>Student Requirements</u>.

a. <u>Required Readings</u>.

U.S. Army War College. <u>Selected Readings, AY 2002</u>. <u>Course 1: Strategic Leadership</u>, Volume I. [Student Initial Issue]

(1) Wong, Leonard. <u>Generations Apart: Xers and Boomers in the Officer Corps</u>. Carlisle Barracks, PA: Strategic Studies Institute, 2000, pp. 283-318.

(2) Snider, Don. Address to the 100th Night Banquet for the U.S. Military Academy Class of 2000 on Officership, Professionalism, and Leadership, pp. 319-325.

(3) Martin, Gregg. "Mentorship: Meaningful Leadership Concept, Confusing Cliché, or Euphemism for Favoritism?" pp. 326-347.

(4) Department of the Army. <u>FM 22-100: "Army Leadership</u>," August 1999.
[Student Initial Issue]

Read sections on:

"Improving," pp. 2-28, paragraphs 2-116 to 2-118.

"Interpersonal Skills," pp. 4-2 to 4-6, paragraphs 4-3 to 4-17.

"Improving Actions" (at Direct Leadership Level), pp. 5-13 to 5-27 (with special emphasis on "Mentoring," pp. 5-15 to 5-18; and "Learning," pp. 5-25 to 5-27.)

"Improving Actions" (at Organizational Leadership Level), pp. 6-25 to 6-29.

"Improving Actions" (at Strategic Leadership Level), pp. 7-22 to 7-26.

Scan Appendix C: "Developmental Counseling."

b. <u>Suggested Readings</u>. [Library Reserve Shelf]

(1) Higgins, Monica C., and Kram, Kathy E. "Reconceptualizing Mentoring at Work: A Developmental Network Perspective." <u>The Academy of Management Review</u>, April 2001, Vol. 26, No. 2, pp. 264-288.

(2) Weafer, Thomas W. <u>Averting the Trainwreck of Captain Attrition--A Leadership Solution</u>. Carlisle Barracks, PA: Unpublished Strategy Research Project, 2001.

(3) Varljen, Peter J. <u>Leadership: More than Mission Accomplishment</u>. Carlisle Barracks, PA: Unpublished Strategy Research Project, 2001.

(4) Rendall, Thomas H. <u>Warriors to Bureaucrats: Why Officers Start Out to be Sam Damon and End Up Courtney Massengale</u>." Carlisle Barracks, PA: Unpublished Strategy Research Project, 2001. (Note: This SRP won the AWC Foundation Award for Strategic Leadership.)

<u>Internet Resources on Mentoring</u>. The following web sites have information on mentoring. Out of the thousands of sites on the web, the list below contains those sites that currently are the most useful to senior leaders in defining/developing a mentor program for junior leaders within their commands. Web sites are not broken down into any specific category; rather, a short explanation of the site is given above each link. Sites are given a rating from (*) to (*****) stars.

(1) Some light reading on how some practitioners are approaching mentoring in the latest issue of Fast Company. Included are links on other mentoring subjects. ****
http://pf.fastcompany.com/change/change_feature/cof_mentor.html

(2) The Chronicle of Higher Education's career advice column. Site contains some information on career decisions and other related subjects. Periodically, some information in the link entitled "Ms. Mentor."* http://chronicle.com/jobs/archive/advicearch.htm#mentor?side

(3) This site lists mentors in specific areas of sports, industry, and entertainment. Some films, books, and articles are specifically cited.** http://www. mentors.ca/mentorpairs.html

(4) This is a NASA site that has numerous subjects. It is from NASA. The first edition of a new publication of theirs is related to the subject of mentoring. Be sure to check the "Ask Magazine" Issue One Site. http://www.appl.nasa.gov

(5) For more information on a model formal mentoring program, please review the web page accessible by the following link: ****
http://www-ngb5.ngb.army.mil/Hosted/hr/mentor/mentor.htm

(6) An interesting article on mentoring from an ARNG officer. From this site, you can link to other related sites on mentoring. ****
http://companycommand.com/ideas/mentoring.htm

(7) The Mentoring Directory web site. This is the best site on the web to link to other related sites on mentoring. Site is updated on a regular basis. Be sure to click the "Link" button to access related sites. ***** http://www.peer.ca/mentor.html

(8) Company commander.com contains numerous links, updated periodically; contains information on mentoring and other useful subjects for company grade officers and senior leaders as well. *** http://www.companycommand.com/links.htm

(9) International Mentoring Association web site. ***
http://www.wmich.edu/conferences/mentoring/

(10) The Mentoring Group Homepage. Some useful information on mentoring ideas and some products/services which may be useful to some senior officers. **
http://www.mentoringgroup.com/

(11) Full Circle: Insights on mentoring from my "Mentor's Heroes." This is a short article on mentoring based upon the military experience of the author. Lists some traits of a successful mentor. **** http://www.coedu.usf.edu.kealy/CIRCLE.html

(12) Suggestions on construction of a Battalion Officer Development Program which focuses on mentoring. *****
http://call.army.mil/products/trngqtr/tq3-98/opdpro.htm

(13) "The Importance of Mentoring." Comments by the former Air Force Chief of Staff. *** http://www.af.mil/news/speech/current/The_Importance_of_Mentorin.html

(14) University of California at Santa Cruz psychologist's article on the benefits of mentoring. http://www.ucsc.edu/news_events/press_releases/archive/98-99/04-99/crosby.htm

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4. Points to Consider.

   a. How does mentoring serve to transmit the values of a profession from generation to generation?

   b. How might mentoring ideally work in the context of the development of professional military officers?

   c. What are the various meanings of "mentoring" in the literature and professional military discussion?

   d. How can senior leaders most effectively encourage and require appropriate mentoring in their commands?

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5. Relationship to USAWC Themes and Program for Joint Education (PJE) Learning Areas and Special Areas of Emphasis. Learning objectives, readings, and points to consider support an understanding of the uniqueness of **strategic-level leadership** including competencies, tasks, and environment.

   a. Relationship to PJE Learning Areas.

      (1) PJE LA 1.a. Readings; Points to Consider.

      (2) PJE LA 1.d. Objectives; Readings; Points to Consider.

   b. Relationship to USAWC Institutional Learning Objectives (ILOs), Enduring and Special Themes.

      (1) ILOs: 1, 2, 3, and 4.

      (2) Enduring Themes: Ethics, History, and Human Dimensions of Strategic Leadership.

      (3) Special Themes: Mentorship, Transformation, and Civil-Military Relations.

FUTURE ENVIRONMENT

Mode: Lecture/Seminar   Lesson No. 1-10-L/S

1. <u>Introduction</u>. This lesson provides the foundation for the study of change in our society. As Peter Drucker states in the Preface of <u>The Community of the Future</u>, "Looking beyond the known requires new mindsets, new eyes and ears." At a global level, interdependent and diverse communities are each trying to understand the whole while simultaneously maintaining their own sense of history, traditions, and well-being. To guide these communities toward a viable future, strategic leaders need to be attuned to the variables that help form the possible futures. In so doing, they can start the process of visioning and creating a better future for their organizations. To help better understand the various trends that will form the possible futures, Mr. Dennis Bushnell, Chief NASA Scientist at Langley, Virginia, will provide a lecture about worldwide technology developments and the implications of these trends on warfare in the year 2025.

2. <u>Learning Objectives</u>.

  a. Examine how strategic leaders need to view the world in order to shape the future.

  b. Recognize the magnitude of the rate of change and the effect that this rate of change has on the stability of traditional systems.

  c. Appraise the implications of change on future world scenarios.

3 . <u>Student Requirements</u>.

  a. <u>Tasks</u>. Read, as required, and scan the recommended readings in order to prepare for Mr. Bushnell's lecture and subsequent seminar dialogue on the topic of futures.

  b. <u>Required Readings</u>.

     U.S. Army War College. <u>Selected Readings, AY 2002</u>. <u>Course 1: Strategic Leadership</u>, Volume I. [Student Initial Issue]

     (1) Schwartz, P., and Leyden, P. "The Long Boom: A History of the Future, 1980– 2020." <u>Wired</u>, July 1998, pp. 348-364.

     (2) Bracken, P. "The Military After Next." <u>The Washington Quarterly</u>, Autumn 1993, pp. 365-382.

(3) Attali, J. "The Crash of Western Civilization: The Limits of the Market and Democracy." <u>Foreign Policy</u>, Number 107, Summer 1997, pp. 383-393.

(4) Barber, B. R. "Jihad vs McWorld." <u>Atlantic Monthly</u>, March 1992, pp. 394-408.

c. <u>Suggested Readings</u>.

<u>Library Reserve Shelf</u>.

(1) Toffler, A. <u>Future Shock</u>. Bantam Books, 1970.

(2) Toffler, A. <u>The Third Wave</u>. Bantam Books, 1980.

(3) Toffler, A. <u>Powershift: Knowledge, Wealth, and Violence at the Edge in the 21st</u> <u>Century</u>. Bantom Books, 1990.

(4) Toffler, A. <u>War and Anti-War: Survival at the Dawn of the 21st Century</u>. Little Brown Publishing Company, 1993.

<u>Internet Resources</u>.

(1) Gaddis, J. L. "Living in Candlestick Park." <u>Atlantic Monthly</u>, April 1999. http://www.theatlantic.com/issues/99apr/9904candlestick.htm

(2) Kaplan, R. D. "Was Democracy Just a Moment?" <u>Atlantic Monthly</u>, December 1997. http://www.theatlantic.com/issues/97dec/democ.htm

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4. <u>Points to Consider</u>.

a. Is a chaotic landscape vision-proof?

b. Can strategic leaders live and plan in a chaotic environment, or is Crisis Action Planning the only practical reality?

c. Is the rate of change in the foreseeable future so overwhelming that, even though you can see trends, setting up reactions to them is futile?

d. How do research methods (SRPs) help with aligning the future?

5. Relationship to USAWC Themes and Program for Joint Education (PJE) Learning Areas and Special Areas of Emphasis. This lesson including its objectives supports an understanding of the value of futures as they apply to:

    a. Relationship to PJE Learning Areas.

        (1) PJE LA 1.b. Readings; Points to Consider.

        (2) PJE LA 3.c. Objectives; Readings; Points to Consider.

        (3) PJE LA 5.d. Objectives; Readings; Points to Consider.

    b. Relationship to USAWC Institutional Learning Objectives (ILOs), Enduring and Special Themes.

        (1) ILOs: 1, 3, 4, and 5.

        (2) Enduring Themes: Ethics, Jointness, and Strategic Vision.

        (3) Special Themes: Civil-Military Relations, Multinational Operations, and Transformation.

STRATEGIC VISION

Mode: Lecture/Seminar   Lesson No. 1-11-L/S

1. Introduction. This lesson returns us to Module III, "Strategic Leadership: Conceptual Competencies." It also looks closely at the foundation of strategic leadership--vision. The strategic leader's ability to create and inculcate that vision into an organization is perhaps the single most important thing that he/she does. Looking beyond daily events, the strategic leader must look into the future, see it, and determine how the organization fits in that future. This lesson will look at the conceptual competencies required of the strategic leader and how he/she must use them to overcome the hurdles en route to achieving the vision. What changes will the strategic leader have to manage in the organizational culture to achieve that vision? What will be the national and international implications of the vision? What will be the second- and third-order effects of its implementation? In this class we will study the strategic leader's challenges in creating and implementing his/her vision in an organization and what steps must be taken for that "visioning process" to be successful.

2. Learning Objectives.

a. Explain the purpose of strategic vision and why it must come from the strategic leader.

b. Analyze strategic-leader competencies required for creating an effective strategic vision.

c. What are the common attributes of effective visions?

3. Student Requirements.

a. Required Readings.

(1) Magee, Roderick. U.S. Army War College. Department of Command, Leadership, and Management. Strategic Leadership Primer. Carlisle Barracks, PA: 1998. Chapter 3: "Strategic Vision," pp. 19-28. [Student Initial Issue] Also available at http://carlisle-www.army.mil/usawc/dclm/Sprimer.pdf.

(2) Kotter, John P. Leading Change. Boston, MA: Harvard Business School Press, 1996. [Student Initial Issue]

Chapter 5: "Developing a Vision and Strategy," pp. 67-84.

Chapter 6: "Communicating the Change Vision," pp. 85-100.

(3) U.S. Army War College. <u>Selected Readings, AY 2002</u>. <u>Course 1: Strategic Leadership</u>, Volume II. [Student Initial Issue]

Chairman of the Joint Chiefs of Staff. <u>Joint Vision 2020</u>, pp. 1-47.

b. <u>Focused Readings</u>. [To be assigned by FI]

U.S. Army War College. <u>Selected Readings, AY 2002</u>. <u>Course 1: Strategic Leadership</u>, Volume II. [Student Initial Issue]

(1) Department of the Army. <u>Army Vision: Soldiers on Point for the Nation … Persuasive in Peace, Invincible in War</u>, February 2000, pp. 48-55.

(2) Department of the Air Force. <u>America's Air Force Vision 2020: Global Vigilance, Reach and Power</u>, pp. 56-63.

(3) Department of the Navy. <u>Forward … from the Sea</u>, 64-76.

(4) United States Coast Guard. <u>Coast Guard 2020: Ready Today … Preparing for Tomorrow</u>, pp. 77-92.

(5) United States Marine Corps. <u>Operational Maneuver from the Sea: A Concept for the Projection of Naval Power Ashore</u>, pp. 93-109.

(6) Army National Guard. <u>Army National Guard Vision 2010</u>, pp. 110-124.

c. <u>Suggested Readings</u>. [Library Reserve Shelf]

(1) Nanus, Burt. <u>Visionary Leadership</u>. San Francisco, CA: Jossey-Bass Publishers, 1992.

(2) Miles, Robert H. <u>Leading Corporate Transformation</u>. San Francisco, CA: Jossey-Bass Publishers, 1997. Chapters 1-4.

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4. <u>Points to Consider</u>.

a. What is the vision of DOD transformation?

b. What are the primary steps necessary to achieve the Chairman's Joint Vision?

c. Is there a difference between the congressional (SASC/HASC) vision of DOD and Chairman's vision of the military? How do we rectify them?

d. What is the "vision community"?

e. Is the vision inclusive?

5. Relationship to USAWC Themes and Program for Joint Education (PJE) Learning Areas and Special Areas of Emphasis. Learning objectives support an understanding of **strategic vision**, **national military strategy**, **21st century warfare**, and **professional military values**. The points to consider touch on **national security**, **military strategy and organization**, **military operations, values**, **joint training**, and **civil-military relations**.

a. Relationship to PJE Learning Areas.

PJE LA 3.b. Objectives; Readings; Points to Consider.

b. Relationship to USAWC Institutional Learning Objectives (ILOs), Enduring and Special Themes.

(1) ILOs: 1, 3, 4, 5, and 6.

(2) Enduring Themes: Ethics, Jointness, and Strategic Vision.

(3) Special Themes: Multinational Operations and Transformation.

SYSTEMS THINKING

Mode: Seminar   Lesson No. 1-12-S

1. <u>Introduction</u>. The concept of "systems and fields" has been around for many years in the form of Gestalt and Zeitgeist theories. However, it was not until Ludwig Von Bertanlaffy, a biologist, coined the phrase General Systems Theory that the concept of a holistic approach to relating activities in nature and organizations came together. Prior to this time, a mechanistic "sum of the parts" thinking was prevalent where the approach was to understand individual parts and not necessary on the system as a "whole." Additionally, there was a lack of appreciation that the system was intrinsically a part of larger systems that could drastically affect the outcome of the subsystems, and vice versa. In its most general sense, systems thinking brings together various methods, analytical tools, and principles that help one understand what might be called the "big picture," dynamically over time.

2. <u>Learning Objectives</u>.

   a. Examine a holistic framework to understand seemingly unrelated activities.

   b. Understand how the principles and techniques of systems thinking will be required to effect change in an organization.

3. <u>Student Requirements</u>.

   a. <u>Required Readings</u>.

      (1) Senge, Peter M. <u>The Fifth Discipline: The Art and Science of the Learning Organization</u>. New York: Doubleday, 1994, pp. 1-92. [Student Initial Issue]

      (2) U.S. Army War College. <u>Selected Readings, AY 2002</u>. <u>Course 1: Strategic Leadership</u>, Volume II.

            Zemke, Ron. "Systems Thinking." <u>Training</u>, Feb 2001, pp. 125-128.

      (3) Murphy, Robert M. U.S. Army War College. Department of Command, Leadership, and Management. <u>Managing Strategic Change: An Executive Overview of Strategic Management</u>. Carlisle Barracks, PA: 2000. Chapter 4: "Systems View of Management." [Student Initial Issue] Also available at <u>http://carlisle-www.army.mil/usawc/dclm/</u>workingsecondpage.htm

   b. <u>Focused Readings</u>: The following are analyses of problems at the National Aeronautics and Space Administration's (NASA) Langley Research Center using techniques of systems thinking which may be assigned by the Faculty Instructor:

(1) "Adding New Customers" at http://dcb.larc.nasa.gov/larcst/Stories/Tragedy.html

(2) "NASA's Dilemma" at http://dcb.larc.nasa.gov/larcst/Stories/NASA_Dilemma.html

(3) "Trying to be Everything to Everybody" at
http://dcb.larc.nasa.gov/larcst/Stories/Everything2Everybody.html

(4) "Becoming Addicted to Support Service Contractors" at
http://dcb.larc.nasa.gov/larcst/Stories/SSCAddiction.html

(5) "Fairness Rules" at http://dcb.larc.nasa.gov/larcst/Stories/Fairness.html

(6) "We Kill Off Our Basic Research" at http://dcb.larc.nasa.gov/larcst/Stories/KillOff.html

(7) "Increasing Controls Lead to Unhappy Customers" at
http://dcb.larc.nasa.gov/larcst/Stories/Controls.html

c. Suggested Readings. [Library Reserve Shelf]

(1) Wheatley, M. J. Leadership and the New Science: Discovering Order in a Chaotic World. San Francisco, CA: Berrett-Koehler Publishers, 1999.

(2) Dumaine, Brian. "Mr. Learning Organization." Fortune, October 17, 1994, p. 147. Online on Lexis-Nexis.

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4. Points to Consider.

a. How do you tie in critical thinking to systems thinking?

b. How can our experience, gained from years of work, help us with systems thinking? Can experience actually hinder systems thinking? How?

c. How has a lack of proper systems thinking caused problems in your organization in the past? How did you deal with it?

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5. Relationship to USAWC Themes and Program for Joint Education (PJE) Learning Areas and Special Areas of Emphasis. This lesson including its objectives supports an understanding of the systems thinking as it applies to:
   a. Relationship to PJE Learning Areas.

(1) PJE LA 1.a. Objectives; Readings.

(2) PJE LA 3.b.   Readings; Points to Consider.

(3) PJE LA 5.a. Objectives; Readings; Points to Consider.

(4) PJE LA 5.b. Objectives; Readings; Small-Group Exercise.

(5) PJE LA 5.d. Small-Group Exercise.

    b. <u>Relationship to USAWC Institutional Learning Objectives (ILOs), Enduring and Special Themes</u>.

(1) ILOs: 1, 3, 4, and 5.

(2) Enduring Themes: Strategic Vision, Human Dimensions of Strategic Leadership, Jointness, and Ethics.

(3) Special Themes: Civil-Military Relations and Transformation.

LEADING CHANGE

Mode: Seminar   Lesson No. 1-13-S

1. Introduction. Leading change in organizations is very much the work of the senior leader. As such, it requires a robust understanding of theories of management, especially those involved in systems thinking. Why? Because, as we saw in the previous lesson, even seemingly minor changes may have profound, unexpected, and time-delayed implications that confound the intended progress. It follows logically, then, that any deliberate attempt at profound change must plan for these effects. This lesson is designed to provide a conceptual framework in the area of management as well as a conceptual understanding of managerial leadership during periods of profound change. The Army Transformation will be used as an illustrative example.

2. Learning Objectives.

a. Examine the framework for leading and managing change.

b. Analyze how and why change efforts often fail.

c. Appraise the implications of the Army's Transformation Campaign Plan as a blueprint for change in the context of the concepts of this lesson, strategic visioning, and future scenarios.

3. Student Requirements.

a. Required Readings.

(1) Kotter, John P. Leading Change. Boston: Harvard Business School Press, 1996, pp. 1-66 and 85-144. [Student Initial Issue]

(2) Murphy, Robert M. U.S. Army War College, Department of Command, Leadership, and Management. Managing Strategic Change: An Executive Overview of Management. Carlisle Barracks, PA: 2000. Scan Chapters 1-3; Read Chapters 5 and 6. [Student Initial Issue] Also available at http://carlisle-www.army.mil/usawc/dclm/workingsecondpage.htm.

(3) U.S. Army War College. Selected Readings, AY 2002. Course 1: Strategic Leadership, Volume II. [Student Initial Issue]

Steele, Dennis. "The Army Magazine Hooah Guide to Army Transformation." Army, February 2001, pp . 129-144.

b. Underline Focused Readings.

U.S. Army War College. Selected Readings, AY 2002. Course 1: Strategic Leadership, Volume II. [Student Initial Issue]

(1) Shinseki, Eric, General, U.S. Army. "Intent of the Chief of Staff, Army," 23 June 1999," pp. 145-147.

(2) Headquarters, Department of the Army. Transformation Campaign Plan, 10 April 2001, pp. 148-186.

(3) Kennedy, Carol. "Great Minds Think Alike." Director, Vol. 51, No. 10, May 1998, pp. 187-190.

(4) Starry, Donn A., General, U.S. Army. "To Change An Army." Military Review, Vol. 3, March 1983, pp. 191-198.

c. Suggested Readings. For some briefings and readings on the Army Transformation.

(1) http://www.army.mil/usa/Cover%20Sheet.htm

(2) http://www.ausa.org/RAMPnew/Army_Transformation.html

(3) http://www-perscom.army.mil/tagd/transition/campaign%20plan.htm

(4) Miller, Thomas R., and Vaughan, Beverly J. "Messages from the Management Past: Classic Writers and Contemporary Problems." SAM Advanced Management Journal, Jan 2001, Vol. 66, No. 1, p. 4. Also available on Lexis-Nexis.

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4. Points to Consider.

a. What are the key concepts of leading change that the Army is successfully fulfilling? Or missing?

b.   If the overall defense establishment is undergoing radical transformation in roles, missions, equipment, budget share, etc., what are the implications for each Service's transformation plans?

c. Are the principles of leading change generally the same in public and private sectors? Large and small organizations?

5. Relationship to USAWC Themes and Program for Joint Education (PJE) Learning Areas and Special Areas of Emphasis. This lesson including its objectives supports an understanding of the value of futures as they apply to:

    a. Relationship to PJE Learning Areas.

        (1) PJE LA 1.a. Objectives; Readings.

        (2) PJE LA 1.d. Objectives; Readings.

        (3) PJE LA 3.b. Readings; Points to Consider.

        (4) PJE LA 3.c. Objectives; Readings.

        (5) PJE LA 5.a. Objectives; Readings; Points to Consider.

    b. Relationship to USAWC Institutional Learning Objectives (ILOs), Enduring and Special Themes.

        (1) ILOs: 1, 3, 4, and 5.

        (2) Enduring Themes: Ethics, History, Human Dimensions of Strategic Leadership, Jointness, and Strategic Vision.

        (3) Special Themes: Civil-Military Relations, Transformation, and Warfare in the 21st Century.

UNDERSTANDING GROUP PROCESSES

Mode: Seminar   Lesson No. 1-14-S

1. <u>Introduction</u>. In previous lessons we have been developing the learning environment in our seminar by addressing individual and group dynamic issues. This lesson examines the role of the strategic leader as a decisionmaker in group-centered efforts at the strategic level. One of the most difficult transitions for Army War College students is from the realm of individual decisions to group consensus decisions among diverse and powerful peers.

This lesson will help students examine models for group decisionmaking and consensus-building. These skills are crucial competencies for dealing with the volatile and uncertain challenges faced by strategic leaders in joint, coalition, and interagency environments. The concepts and techniques explored in this lesson will be practiced throughout the rest of the academic year.

2. <u>Learning Objectives</u>.

a. Understand the complexity of decisionmaking at the strategic level, including second- and third-order effects.

b. Understand the concept of Group Think and other decision traps which can degrade group decisions.

c. Understand the concept of consensus decisionmaking and how it is applied at the strategic level.

d. Understand the unique practices and approaches which distinguish an effective from an ineffective team.

3. <u>Student Requirements</u>.

a. <u>Tasks</u>. Read and prepare for classroom dialog on group decision processes. Prepare to apply these decisionmaking tools in a group exercise in a subsequent lesson.

b. <u>Required Readings</u>.

U.S. Army War College. <u>Selected Readings, AY 2002</u>. <u>Course 1: Strategic Leadership</u>, Volume II. [Student Initial Issue]

(1) Russo, Edward J., and Schoemaker, Paul J. H. <u>Decision Traps: The Ten Barriers to Brilliant Decision Making and How to Overcome Them</u>. New York, NY: Simon and Schuster Publishing Company (First Fireside Edition), October 1990. Chapter 1: "An Excellent Decision-Making Process," pp. 199-209.

(2) Zsambok, C. E.; Klein, G.; Kyne, M.; and Klinger, D. "Effective Group Behavior and Processes." Extracted from <u>Advanced Team Decision Making: A Development Model</u>. Washington, DC: Army Research Institute, 1992, pp. 210-220.

c. <u>Suggested Readings</u>. Additional strategic decisionmaking readings.

(1) Shaw, James B., and Barrett-Power, Elain. "The Effects of Diversity on Small Work Group Processes and Performance." <u>Human Relations</u>, Oct 1998. [ProQuest: Use 1986-1998 data base, enter barrett, shaw, and processes]

(2) Devine, Dennis J. "Effects of Cognitive Ability, Task Knowledge, Information Sharing, and Conflict on Group Decision-Making Effectiveness." Small Group Research, Thousand Oaks, Oct 1999, pp. 608-634. [ProQuest: Use 1999 data base, enter devine and cognitive]

(3) Maznevski, Martha L. "Understanding Our Differences: Performance in Decision-Making Groups with Diverse Members." <u>Human Relations</u>, May 1994, p. 531. [ProQuest: Use 1986-1998 data base, enter maznevski and differences]

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4. <u>Points to Consider</u>.

a. When have you been a member of a group whose decisionmaking process operated extremely well? What processes and behaviors were responsible for the success?

b. When have you been a member of a decisionmaking group/team that did not function well? In retrospect, what were the most critical problem areas?

c. What is consensus decisionmaking? When should strategic leaders use this approach?

d. What are the decision traps that effect groups most?

e. What are the implications or consequences of group decisionmaking and consensus-building in the national security arena?

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5. <u>Relationship to USAWC Themes and Program for Joint Education (PJE) Learning Areas and Special Areas of Emphasis</u>. Learning objectives support an understanding of the importance of appreciating and leveraging the **human dimensions of strategic leadership** in formulating negotiating positions and consideration of **ethics** and **civil-military relations**. Readings touch upon

civil-military relations and **strategic vision** themes as well as **ethics, national security strategy considerations**, and **organizational/political influences**. Finally, points to consider should generate critical thought on **jointness, strategic vision**, and **ethics** as well as other strategic-leader environment issues.

    a. <u>Relationship to PJE Learning Areas</u>.

        (1) PJE LA 1.b. Objectives; Readings.

        (2) PJE LA 3.b. Readings; Points to Consider.

        (3) PJE LA 5.a. Objectives; Readings; Points to Consider.

        (4) PJE LA 5.b. Objectives; Readings; Small-Group Exercise.

    b. <u>USAWC Institutional Learning Objectives (ILOs), Enduring and Special Themes</u>.

        (1) ILOs: 1 and 4.

        (2) Enduring Themes: Ethics, Strategic Vision, and the Human Dimensions of Strategic Leadership.

        (3) Special Themes: Transformation.

CAPITALIZING ON DIVERSITY

Mode: Lecture/Seminar   Lesson No. 1-15-L/S

1. <u>Introduction</u>. This lesson is designed to support and foster the human goals of the Department of Defense. In the process, it should cause critical thinking on the policies and procedures we use to lead our government organizations, both civilian and military. How do we implement organizational visions? How we manage change to organizational cultures? Do we recognize the contributions of all members of our organization or are there systematic hurdles in the lanes of some of us? This lesson seeks to frame these issues with common workable definitions used by K. L. Larkey and J. E. McGrath who take different views of diversity, both of which are very relevant.

2. <u>Learning Objectives</u>.

a. Compare and contrast definitions of diversity.

b. Examine the Services, components, cultures, and specialties in DOD. Discuss if they are recognizing contributions of all members of the organization.

c. Identify some of the key strategic leadership principles used to capitalize on diversity in organizations.

3. <u>Student Requirements</u>.

a. <u>Required Readings</u>.

U.S. Army War College. <u>Selected Readings, AY 2002</u>. <u>Course 1: Strategic Leadership, Volume II</u>. [Student Initial Issue]

(1) Johnson, Judith L., and McIntyre, Robert M. <u>Defense Equal Opportunity Management Institute (DEOMI) Research Series Pamphlet 98-7: Leading Diverse Teams in the Department of Defense</u>, Summer 1998, pp. 221-271.

(2) Gilbert, Jacqueline A.; Stead, Bette Ann; and Ivancevich, John M. "Diversity Management: A New Organizational Paradigm." <u>Journal of Business Ethics</u>, August 1999,
Vol. 21, No. 1, pp. 272-287.

b. Suggested Readings.

Library Reserve Shelf.

(1) Efrat, Elron; Boas, Shamir; and Eyal, Ben-Ari. "Why Don't They Fight Each Other?: Cultural Diversity and Operational Unity in Multinational Forces." Armed Forces and Society, Fall 1999.

(2) Thomas, David A., and Ely, Robin J. "Making Differences Matter: A Paradigm for Managing Diversity." Harvard Business Review, September-October 1996.

(3) Jackson, S. E.; May, K. E.; and Whitney, K. "Understanding the Dynamics of Diversity in Decision Making Teams." Edited by R. Guzzo, E. Salas, and Associates. Team Effectiveness and Decision Making in Organizations. San Francisco: Jossey-Bass, 1995,
pp. 204-261.

(4) Jackson, S. "Consequences of Group Composition for the Interpersonal Dynamics of Strategic Issue Processing." Advances in Strategic Management, 1992, Volume 8, pp. 345-382.

(5) Milliken, E. J., and Martins, L. L. "Searching for Common Threads: Understanding the Multiple Effects of Diversity in Organizational Groups." Academy of Management Review, 1996, Volume 21, pp. 402-433.

(6) Williams, Katherine Y., and O'Reilly, Charles A. "Forty Years of Diversity Research: A Review." Research in Organizational Behavior, 1998, Volume 20, pp. 77-140. Greenwich, CT: JAI Press.

Internet Resources.

(1) U.S. Department of the Interior. Strategic Plan for Improving Diversity.
Office for Equal Opportunity. http://www.doi.gov/diversity/7plan.htm

(2) U.S. Department of the Interior. Sampling of Other Diversity Plans.
Office for Equal Opportunity. http://www.doi.gov/diversity/7plan.htm

(3) Tharp, Roland G. "Research Knowledge and Policy Issues in Cultural Diversity and Education." Systemic Reform: Perspectives on Personalizing Education, September 1994.
http://www.ed.gov/pubs/EdReformStudies/SysReforms/tharp1.html

(4) Disability and Cultural Diversity. On line on Google's Cache, 1998.
http://www/google.com/search?q=cac…/ek98/disabili.htm+diversity&hl=en

(5) Defense Equal Opportunity Management Institute Home Page.
http://www.patrick.af.mil/deomi/deomi.htm

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4. <u>Points to Consider</u>.

    a. How do senior leaders establish organizational environments that are inclusive from top to bottom?

    b. How do senior leaders establish organizational environments that encourage members to contribute 100% of their talents, skill, and experience?

    c. Do current DOD practices and policies support inclusion in the Services? If so, how? If not, why not?

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5. <u>Relationship to USAWC Institutional Learning Objectives (ILOs), Enduring and Special Themes</u>.

    a. ILOs: 1.

    b. Enduring Themes: Ethics, Strategic Vision, and Human Dimensions of Strategic Leadership.

    c. Special Themes: Mentorship and Multinational Operations.

NEGOTIATIONS

Mode: Seminar   Lesson No. 1-16-S

1. <u>Introduction</u>. Strategic leadership requires the successful application of key conceptual, technical, and interpersonal competencies. Most noteworthy among the interpersonal competencies are consensus-building, communication, and negotiation. While each of these interpersonal competencies is a study in its own right, all three overlap. Skilled negotiation requires solid communication skills, and it is often enhanced by effective consensus-building. Additionally, the skilled negotiator successfully employs well-established psychological, interpersonal, and human relations principles. Successful negotiation requires the ability to stand firm on nonnegotiable points while simultaneously communicating respect for other participants. Striving to obtain the best possible negotiated agreement is a given. At the same time, skilled negotiators understand that the human dynamics of the negotiation process affect its outcome, so they carefully consider the second- and third-order effects of their proposals and the ways they choose to interact with their opponents.   With this in mind, the effective negotiator will make every reasonable effort to focus on *interests* rather than on *positions.*

2. <u>Learning Objectives</u>.

    a. Comprehend the critical principles of negotiation.

    b. Apply the principles of negotiation to the strategic environment.

    c. Evaluate examples of effective and ineffective negotiation.

3. <u>Student Requirements</u>.

    a. <u>Tasks</u>.

        (1) Read, as required, and prepare for classroom participation.

        (2) Be prepared to dialogue on negotiating in the strategic environment.

        (3) Be prepared to discuss examples of effective and ineffective negotiation at the strategic level.

    b. <u>Required Readings</u>.

    Fisher, Roger, and Ury, William. <u>Getting to Yes</u>. New York: Penguin Books, 1992, pp. 1-55.   [Student Initial Issue]

c. Focused Readings.

U.S. Army War College. Selected Readings, AY 2002. Course 1: Strategic Leadership, Volume II. [Student Initial Issue]

(1) Marley, Anthony D. "Responsibilities of a Military Negotiator During Peace Talks." Parameters, Summer 1996, pp. 288-299.

(2) Boose, Donald W. "The Korean War Truce Talks: A Study in Conflict Termination." Parameters, Spring 2000, pp. 300-314.

(3) Grey, Robert T. "Deadlocked and Waiting at the U.N. Conference on Disarmament." Arms Control Today, December 2000, pp. 315-320.

d. Suggested Readings.

Library Reserve Shelf.

(1) Spector, Bertram I. "Deciding to Negotiate with Villains." Negotiation Journal, January 1998, pp. 43-59.

(2) Watkins, Michael. "Negotiating in a Complex World." Negotiation Journal, July 1999, pp. 245-267.

(3) Gardner, Howard. "Using Multiple Intelligences to Improve Negotiation Theory and Practice." Negotiation Journal, October 2000, pp. 321-324.

(4) Fukushiama, Susan. "What You Bring to the Table: Transference and Countertransference in the Negotiation Process." Negotiation Journal, April 1999, pp. 169-179.

(5) Ury, William. Getting Past No. New York: Bantam Books, 1991.

Internet Resources.

(1) Cohen, Stephen P. "Focusing on Interests Rather Than Positions Conflict Resolution Key." Available from http://www.pertinent.com/pertinfo/business/stevecohen.html. Internet, accessed 5 June 2001.

(2) "Negotiations--Realizing the Opportunity." Available from http://www.ibiblio.org/ sullivan/CampDavid-Negotiations.html. Internet, accessed 6 June 2001.

(3) Wertheim, E. "Negotiations and Resolving Conflicts: An Overview." Available from http://www.cba.neu.edu/~ewertheim/interper/negot3.htm. Internet, accessed 6 June 2001.

4. Points to Consider.

    a. When is negotiation appropriate? When is it not appropriate?

    b. What are the advantages and disadvantages of negotiating from a position?

    c. How can the senior leader enhance his/her negotiating competency?

    d. What interpersonal skills enhance the senior leader's ability to negotiate?

5. Relationships to USAWC Themes and Program for Joint Education (PJE) Learning Areas and Special Areas of Emphasis. This lesson supports an understanding of:

    a. PJE: Not applicable.

    b. Relationship to USAWC Institutional Learning Objectives (ILOs), Enduring and Special Themes.

        (1) ILOs: 1.

        (2) Enduring Themes: Ethics, Human Dimensions of Strategic Leadership, Jointness, and Strategic Vision.

        (3) Special Themes: Civil-Military Relations.

NEGOTIATIONS EXERCISE

Mode: Exercise   Lesson No. 1-17-EX

1. Introduction. Senior leaders negotiate on a regular basis. Often negotiations are informal and conducted in a "friendly" environment. Such negotiations may resemble little more than consensus-building. In other situations, negotiations may be more formal and may involve parties that are in adversarial relationships. At any point across this spectrum, the senior leader must be prepared to employ effectively the interpersonal skills required to further the interests of his/her organization. This lesson will afford an opportunity to apply the negotiation principles set forth in Lesson 1-16-S.

2. Learning Objectives.

a. Apply the principles of negotiation in an exercise format.

b. Evaluate one's own negotiation skills as reflected in the exercise.

c. Evaluate examples of effective and ineffective negotiation.

3. Student Requirements.

a. Tasks.

(1) Review materials from Lesson 1-16-S.

(2) Be prepared to assume a role as part of a negotiating team during the exercise.

b. Required Readings.

(1) Read exercise material to be distributed by the instructor.

(2) Review required and focused readings from Lesson 1-16-S.

4. Points to Consider.

a. What can negotiators do when they reach an impasse?

b. What interpersonal skills enhance the senior leader's ability to negotiate?

5. Relationships to USAWC Themes and Program for Joint Education (PJE) Learning Areas and Special Areas of Emphasis. This lesson supports an understanding of:

  a. PJE: Not applicable.

  b. Relationship to USAWC Institutional Learning Objectives (ILOs), Enduring and Special Themes.

    (1) ILOs: 1

    (2) Enduring Themes: Ethics, Human Dimensions for Strategic Leaders, and Jointness.

    (3) Special Themes: Civil-Military Relations.

STRATEGIC LEADERSHIP APPLICATIONS: STRATEGIC LEADERSHIP IN A TRANSFORMING ORGANIZATION I/II

Mode: Seminar   Lesson Nos. 1-18/19-S

1. <u>Introduction</u>. Obviously, a major theme of this course has been the role each of us will play in supporting the Army Transformation through our own leadership and our key supporting roles of other strategic leaders. In this lesson, each student will critically examine what may be the toughest test of the strategic leader, that of designing a profound change in the organization, leading the organization through it, and finally cementing the change in the culture. We will share each other's insights, and examine some other writings on the subject.

2. <u>Learning Objectives</u>. Synthesize course concepts by showing thorough understanding of the environment, competencies, and professional responsibilities of the strategic leader during a period of transformation.

3. <u>Student Requirements</u>.

    a. <u>Tasks</u>.

        (1) As assigned by your Faculty Instructor, you will complete a written assessment of strategic-leadership requirements in a transforming organization in accordance with the instructions on page 6.

        (2) Selected students will present their papers or an assigned reading for seminar discussion.

    b. <u>Required Reading</u>.

        U.S. Army War College. <u>Selected Readings, AY 2002</u>. <u>Course 1: Strategic Leadership</u>, Volume II. [Student Initial Issue]

        Dunn, Richard J. "Transformation: Let's Get It Right This Time." <u>Parameters</u>, Spring 2001, pp. 321-327.

    c. <u>Focused Readings</u>.

        U.S. Army War College. <u>Selected Readings, AY 2002</u>. <u>Course 1: Strategic Leadership</u>, Volume II. [Student Initial Issue]

(1) Keeter, Hunter. "Business as Usual Won't Allow the Navy to Achieve its Net-Centric Vision." Defense Daily, 3 April 2001, pp. 328-333.

(2) Sapolsky, Harvey M. "On the Theory of Military Innovation." Breakthroughs, Spring 2000, pp. 334-338.

(3) Bacevich, Andrew J. "Design for a New Army." The Pentomic Era: The U.S. Army Between Korea and Vietnam. Washington, DC: National Defense University Press, 1986, pp. 339-360.

(4) Krepinevich, Andrew F. "Cavalry to Computer: The Pattern of Military Revolution." The National Interest, Fall 1994, No. 37, pp. 361-373.

(5) Foglemen, Ronald R. "The New American Way of War: Continuous Transformation." Proceedings, January 2001, pp. 374.

(6) McKay, Robert, and Flowers, Kathy. "Transformation in Army Logistics." Military Review, September/October 2000, pp. 375-381.

    d. Suggested Readings.

(1) Chakravarthy, Bala, et.al. "Maintaining Leadership Legitimacy in the Transition to New Organizational Forms." Journal of Management Studies, July 1998, Vol. 35, No. 4, p. 437. Also available on Lexis-Nexis.

(2) Bennis, Warren. "The End of Leadership: Exemplary Leadership is Impossible Without Full Inclusion, Initiatives, and Cooperation of Followers." Organizational Dynamics, July 1999, Vol. 27, No. 1. Also available on Lexis-Nexis.

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4. Points to Consider.

   a. Are there any special responsibilities of leaders to their subordinates in a time of massive change?

   b. How does a leader leverage the knowledge of his or her people to determine the best course(s) of action? What are the advantages--or possible dangers--of full participation?

   c. How does a leader prevent transformation efforts from being derailed or sidelined by those who resist change?

5. <u>Relationship to USAWC Themes and Program for Joint Education (PJE) Learning Areas and Special Areas of Emphasis</u>. This lesson supports an understanding of:

   a. <u>Relationship to PJE Learning Areas</u>.

      (1) PJE LA 1.a. Objectives; Readings.

      (2) PJE LA 1.d. Objectives; Readings.

      (3) PJE LA 3.b. Readings; Points to Consider.

      (4) PJE LA 3.c. Objectives; Readings.

      (5) PJE LA 5.a. Objectives; Readings; Points to Consider.

   b. <u>Relationship to USAWC Institutional Learning Objectives (ILOs), Enduring and Special Themes.</u>

      (1) ILOs: 1, 3, 4, and 5.

      (2) Enduring Themes: Ethics, Human Dimensions of Strategic Leadership, Jointness, and Strategic Vision.

      (3) Special Themes: Civil-Military Relations, Multinational Operations, Transformation, and Warfare in the 21st Century.

SECTION V

APPENDICES

Appendix I   Student Assessment Report (CBks Form 811-R)

Appendix II   USAWC Mission, Instructional Learning Objectives
                    (ILOs), Themes, and Program for Joint Education (PJE)
                    Learning Areas and Objectives

MISSION

To prepare selected military, civilian, and international leaders to assume strategic-leadership responsibilities; educate current and future leaders on the role of landpower in a joint, multinational, and interagency environment; conduct research and publish on operational and strategic or national security issues; and engage in outreach programs that benefit the U.S. Army, the Department of Defense, and the Nation.

INSTITUTIONAL LEARNING OBJECTIVES (ILO)

To accomplish this mission, the USAWC curriculum is designed to produce graduates who can:

1. Distinguish the uniqueness of strategic-level leadership and apply skills and competencies required by strategic leaders.

2. In concert with other elements of national power, advise on the role of the military, especially landpower, in national security strategy formulations.

3. Analyze threats and other factors which affect U.S. interests.

4. Apply strategic thought to U.S. national security decisionmaking processes.

5. Manage change by applying resources to the Joint and Army processes for translating strategy into force requirements and capabilities.

6. Develop theater strategies, estimates, and campaign plans to employ unified, joint, and multinational forces.

7. Synthesize critical elements of warfare at the strategic and operational levels.

SENIOR SERVICE COLLEGE-LEVEL LEARNING AREAS AND OBJECTIVES

SOURCE: CJCSI 1800.01: Officer Professional Military Education Policy, 1 December 2000.

1. Learning Area 1. National Security Strategy.

a. Analyze the strategic art; i.e., developing, applying, and coordinating the instruments of national power to secure national security objectives.

b. Comprehend how national policy is turned into executable military strategies.

c. Analyze how the constituent elements of government and American society exert influence on the national strategy process.

2. <u>Learning Area 2</u>. National Planning Systems and Processes.

    a. Comprehend the Department of Defense systems and processes by which national ends, ways, and means are reconciled, integrated, and applied.

    b. Analyze how time, coordination, policy, politics, doctrine, and national power affect the planning process.

    c. Analyze and apply the principal joint strategy development and operational planning processes.

    d. Comprehend the role of joint doctrine with respect to unified command.

3. <u>Learning Area 3</u>. National Military Strategy and Organization.

    a. Comprehend the art and science of developing, deploying, employing, and sustaining the military resources of the nation, in concert with other instruments of national power, to attain national security objectives.

    b. Analyze the roles, relationships, and functions of the NCA, CJCS, JCS, CINCs, Secretaries of the Military Departments, and the Service Chiefs.

    c. Comprehend how the capabilities and limitations of the U.S. force structure affect the development of joint military strategy.

4. <u>Learning Area 4</u>. Theater Strategy and Campaigning.

    a. Comprehend how joint, unified, and multinational campaigns and operations support national objectives.

    b. Comprehend the role and perspective of the unified commander and staff in developing various theater plans, policies, and strategies, including current issues of interest to the CINCs.

    c. Analyze joint operational art and, especially, its application via the joint task force.

    d. Comprehend how to coordinate U.S. military plans and actions effectively with forces from other countries and with interagency and nongovernmental organizations.

    e. Comprehend the value of integrating IO into theater strategies and campaigning.

5. Learning Area 5. IO and Command, Control, Communications and Computers (C4).

    a. Understand IO and C4 concepts and how they relate.

    b. Demonstrate a thorough understanding of how IO and C4 are integrated to support the National Military and National Security Strategies and interagency process.

    c. Demonstrate how IO and C4 are integrated into the theater and strategic campaign development process.

    d. Understand how the joint operational planning and execution system is integrated into theater and operational IO campaign planning and execution to support theater and national strategic sustainment and warfighting efforts.

6. Learning Area 6. The Role of Technology in 21st Century Warfare.

    a. Comprehend how technological change affects the art and science of war and evaluate key ongoing and anticipated technological developments pertinent to the military instrument.

    b. Analyze Joint Vision 2020 and the nature of warfare in the information age, to include examining key current developments.

AY 2002 THEMES
(COORDINATING AUTHORITY)

ENDURING

ETHICS (DCLM)

HISTORY (DNSS)

HUMAN DIMENSIONS OF STRATEGIC LEADERSHIP (DCLM)

JOINTNESS (DMSPO/CJCS CHAIR)

STRATEGIC VISION (DCLM)

SPECIAL

CIVIL-MILITARY RELATIONS. (DNSS)

The principle of civilian control over the military is an essential part of the U.S. Constitution and American political tradition. Changes in the post-Cold War strategic environment, consequences of the Goldwater-Nichols Act, and societal changes require continuous assessment. Emerging trends toward partisan political activity and policy advocacy may erode professionalism. Strategic leaders also must shape regional security environments by fostering the development of democratic patterns and processes of civil-military relations. Thus, as the nexus between the statesman and the military professional becomes increasingly complex, strategic leaders must focus on developing complementary competencies and an understanding of both their shared and separate responsibilities in the national security decisionmaking process.

MENTORSHIP. (DCLM)

Military officership is a profession. It transcends an occupation through its high order of expertise, corporate nature, and special social trust. In any profession, there is a complex process of education, practice, acculturation, and standards adherence that sustains the essence of the profession from generation to generation. Periodically within The Army changes in the roles and mission, the nature of the force, and the strategic environment or the generational change of the guard in the officer corps raises questions about the status of the profession and the process by which the new generation is assimilated. One traditional and powerful means of sustaining and enhancing the profession is senior-leader mentoring. The special theme of mentorship focuses Army War College faculty and students on the role and process of senior-leader mentorship in sustaining and advancing the profession of arms.

MULTINATIONAL OPERATIONS. (DMSPO)

Increased commitments at home and abroad coupled with reduced force structure will make us more reliant than ever on alliances and coalitions to preempt and resolve future conflicts. Army War College students, therefore, must understand how this nation plans to go to war. The Army War College provides 21st Century leaders with the skills to understand and practice the art of alliance and coalition warfare at the nexus between the strategic and operational levels of war. To do that, a thorough understanding of the political and military components of our standing alliances, a historical understanding of the effectiveness of past coalition efforts, and an adept knowledge of interagency contributions to combined warfare are absolutely essential.

TRANSFORMATION. (DCLM)

True transformations of standing armies are rare. Most changes are developmental, occur incrementally, and are managed within existing systems over a long period of time. However, a historically unprecedented confluence of factors affecting the strategic and operational environments have brought the need for transforming our military to the forefront. Full spectrum strategic deployments, asymmetrical threats, an explosion of new and applicable technologies, and increased interagency, joint, and multinational operations among many other influences are driving revolutionary changes within every Service. Correspondingly, with the publication of the Army Chief of Staff's Intent and Vision Statement in late 1999, The Army embarked upon a rapid and dramatic transformation toward a more "responsive, deployable, agile, versatile, lethal, survivable, and sustainable force."   The Army's transformation ultimately will affect all The Army and also influence and be affected by the other Services' transformation efforts. Strategists and strategic leaders need to understand the phenomenon of transformation and learn how it can be efficiently resourced, effectively managed, and successfully integrated and synchronized with all the Services' and joint transformation efforts to properly shape The Army of the 21st Century.

WARFARE IN THE 21ST CENTURY. (DMSPO)

The U.S. military's operational tempo will remain high as conflict continues to erupt along seams of ethnic and religious rivalry, and economic competition. Officers of the 21st Century must capitalize on the innovative application of new technologies to become faster, leaner, and more strategically responsive. Leaders will need to perceive, comprehend, and take advantage of the changing nature of technology as it drives changes in warfare. This includes an understanding of the geostrategic impact of the information and space environments on strategy and the art of war. To enter the debate and begin influencing the future, Army War College students need to be able to think beyond current structures and programs. To accomplish this, students need to understand the relationships between the Services' ongoing modernization efforts, CJCS' Joint Vision 2020, and the emerging vision of our forces beyond.